

**HCCA Managed Care Conference  
February 6-8 2011**

**Top Ten Compliance Skills List**

**O'Brien Presentation – Getting to Effectiveness**

**List Developed by:**

**Shirley Qual, Pharmacy Compliance Officer, UHC Medicare & Retirement,**

1. **Visibility** - Don't sit in your office even if no one invites you anywhere; explore and find ways to get out there so you can learn the business and find out who the opinion leaders are and where and how decisions get made.
2. **Rapport** - Build trust with your authentic, respectful communication style; listen a lot; recognize this may take a while. People are often suspicious of compliance and may have had negative or no experiences; this will be the foundation for your ability to be effective.
3. **Transparency** - You will be asking others to build this into their business processes and communications - make sure you are transparent too
4. **Impose Rigor** - When problem solving with the business, always help lead them to building structure and processes that get them to standardization, replication and assurances that that the solutions are working (policies, procedures, training, monitoring, communication, etc.).
5. **Role Model** - Make sure you are following the spirit and letter of the Code of Conduct all the time. You will always be under more scrutiny than others in this regard and your behavior serves as a strong message about your buy-in to what you are selling; you are a leader in ethical behavior by virtue of your role not because you are more ethical than others; maintain confidences and do not gossip.
6. **Don't Overstep Your Role** - You are not the lawyer or the business person - don't offer opinions on those matters. Always be clear about your role and recognize your voice will be heard as the voice of compliance where other employees may have times when their voices are heard as an individual and not in their employment role. You lose credibility and confuse business people about your compliance role when you dilute your communications with non-compliance opinions/comments.
7. **Persistence** - People will work around you to avoid change; be patient and creative but persistent.
8. **Analytical and Objective** - People are often not able to separate their emotion from a decision or analysis of an issue - be that person.
9. **Poker Face** - People, especially people in senior positions, don't like to admit things to someone who shows even a subtle negative reaction - accept all disclosures with the same calm, non-judgmental reaction and you will be trusted with sensitive information.
10. **Informal Power** - Most things should be accomplished through persuasion and informal power; use partners/peers of those you want to influence as messengers and collaborators; use your formal power rarely.